

PATENT  
040150**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** Houghton et al. )  
 )  
**Serial No.:** ) **Examiner:**  
 )  
**Filing Date:** ) **Art Unit:**

**Title:** TRACKING ACCOUNT STRUCTURE TO SUPPORT DIFFENT LEVERAGE  
LEVELS WITHIN AN INVESTMENT FUND

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450


Dear Sir:

Applicants, in accordance with their duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the reference(s) listed on the accompanying form PTO/SB/08. A copy of each reference is enclosed.

Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this *Information Disclosure Statement* "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Respectfully submitted,

Date: March 26, 2003

  
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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	
				Filing Date	
				First Named Inventor	
				Art Unit	
				Houghton	
Examiner Name					
Sheet	1	of	1	Attorney Docket Number	
				040150	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
/A.M./		Adler, "Cayman Islands Segregated Portfolio Companies – A Panacea," 2003.	
↓		Natusch, "Segregated Portfolio Companies in the Cayman Islands," October 2003.	

Examiner Signature	/Alan Miller/ (03/31/2008)	Date Considered	03/31/2008
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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